

# **USS Alabama Battleship Commission**



## **Functional Analysis & Records Disposition Authority**

**Presented to the  
State Records Commission  
April 23, 2014**

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# **Functional and Organizational Analysis of the USS Alabama Battleship Commission**

## **Sources of Information**

- Staff of the USS Alabama Battleship Commission
- Code of Alabama 1975 § 41-9-340 through § 41-9-358
- Alabama Government Manual (2010)
- USS Alabama Battleship Commission Website, [www.ussalabama.com](http://www.ussalabama.com)

## **Historical Context**

The USS Alabama is a battleship that served 37 months of active duty in the Atlantic and Pacific Ocean Campaigns of World War II. Called the “Mighty A” for her nine battle stars and ability to safely transport troops, the USS Alabama was mothballed after the war. In 1962, she was slated to be scrapped, but a public campaign to bring the historic battleship to Mobile prompted Alabama Legislators to establish the USS Alabama Battleship Memorial Park in 1963. The USS Alabama Battleship Commission (hereinafter referred to as the Commission) was created to operate a state memorial park honoring all Alabamians who had served in the Armed Services and wars overseas. It is mandated in the Code of Alabama 1975 § 41-9-340 through § 41-9-358.

The USS Alabama’s exhibits and artifacts number in the thousands, from large aircraft, tanks, and other vessels down to pictures, books, and parts of uniforms worn by the former crew. It also includes artifacts from all branches of the United States Armed Services from World War I through today to honor and memorialize all Alabamians who have served in those services.

## **Agency Organization**

The Code of Alabama 1975 § 41-9-340 states that the commission “shall consist of 18 competent and qualified citizens of Alabama.” Each member is appointed by the Governor, with at least three (3) residents of Mobile County and one (1) of Baldwin County. The remaining fourteen (14) members shall be representative of the state as a whole. Each commission member shall serve a term of eight (8) years with nine appointments made every four years. Members may be removed from office for due cause by the Governor and a replacement may be appointed to serve for the remainder of the term (Code of Alabama 1975 § 41-9-340). Members of the commission will elect a chair, vice chair, treasurer, and secretary, however; the treasurer and secretary are not required to be commission members.

The commission is authorized to create an executive committee of no fewer than five members, if it so chooses. The commission may additionally employ an executive director to provide “general supervision, promotion and development of the battleship and of the state memorial park” (Code of Alabama 1975 § 41-9-344). The commission meets monthly, with the exception of July and December. All commission meetings are held aboard the USS Alabama battleship at USS Alabama Battleship Memorial Park, 2703 Battleship Parkway, Mobile, AL 36602.

## Agency Function and Subfunctions

The mandated function of the commission under the Code of Alabama 1975 § 41-9-347 is to establish and maintain a state memorial park that “honors Alabamians who have participated in all armed conflicts of the United States.” The agency is responsible for acquiring, transporting, preserving, and exhibiting the USS Alabama Battleship and other military artifacts representative of Alabamian veterans. (Code of Alabama 1975 § 41-9-347). Its duties fall under the Stewardship function of Alabama government.

In the performance of its mandated function, the commission may engage in the following subfunctions:

- **Promulgating Rules and Regulations.** In accordance with the Code of Alabama 1975 § 41-9-346, the USS Alabama Battleship Commission will be established as a public body corporate, permitting it to create rules, regulations, and hold “all powers necessary or conveniently to effect the purpose for which it has been established.” Additionally, the Code of Alabama 1975 § 41-9-349(d) provides that the commission is authorized to “have full, complete and exclusive jurisdiction over the vessel, the sites and the related exhibits and shall allocate funds from its treasury for the fulfillment and accomplishment of its duties and responsibilities in a manner as may be necessary and appropriate for the perfection of the purposes of this article.” The commission has established several internal administrative committees and program committees to coordinate its work.
- **Constructing and Managing USS Alabama Battleship Memorial Park.** In accordance with the Code of Alabama 1975 § 41-9-347, to “establish, operate, and maintain a state memorial park to honor the Alabamians who participated in all armed conflicts of the United States, which shall be under the exclusive management and control of the commission as a separate agency of the state government.”
- **Educating and Promoting.** The commission is responsible for planning and implementing various interpretive exhibits and public programs for students and other groups to promote better awareness and understanding of Alabamian participation in all branches of the United States Armed Services.
- **Administering Internal Operations.** A significant portion of the agency’s work includes general administrative, financial, and personnel activities performed to support the programmatic areas of the agency.

**Commission Member Information:** The commission is responsible for maintaining all correspondence and letters of appointment relating to the selection of commission members by the Governor. This may include qualifications and regional information for commission members. Additionally, the commission shall maintain minutes from each meeting held in accordance with the Code of Alabama 1975 § 41-9-342.

**Managing the Agency:** Activities include internal office management activities common to most government agencies such as corresponding and communication; commission appointment letters; administrative reference; scheduling; meeting; documenting policy and procedures; reporting; litigating; drafting, promoting, or tracking legislation; publicizing and providing information; managing records; and managing information systems and technology.

**Managing Finances:** Activities involved in managing finances may include the following: budgeting (preparing and reviewing a budget package, submitting the budget package to the Department of Finance; documenting amendments and performance of the budget); purchasing (requisitioning and purchasing supplies and equipment, receipting and invoicing for goods, and authorizing payment for products received); accounting for the expenditure, encumbrance, disbursement, and reconciliation of funds within the agency's budget through a uniform system of accounting and reporting; authorizing travel; contracting with companies or individuals; bidding for products and services; and assisting in the audit process.

**Managing Human Resources:** Activities involved in managing human resources may include the following: recruiting and hiring eligible individuals to fill vacant positions within the agency; providing compensation and benefits to employees; supervising employees (evaluating performance, disciplining, granting leave, and monitoring the accumulation of leave); and providing continuing education for employees.

**Managing Properties, Facilities, and Resources:** Activities involved in managing properties, facilities, and resources may include the following: inventorying and accounting for non-consumable property and reporting property information to the appropriate authority; constructing buildings and facilities; leasing and/or renting offices or facilities; providing for security and/or insurance for property; and assigning, inspecting, and maintaining agency property, including vehicles.

# Analysis of Record Keeping System and Records Appraisal of the USS Alabama Battleship Commission

## Agency Record Keeping System

The USS Alabama Battleship Commission operates a hybrid system composed of paper and electronic records. All electronic files kept by the commission are backed up with paper copies.

**Paper-based System:** Most of the board's records are created and maintained in paper form.

**Computer System:** The commission utilizes networked PCs connected to small servers; three integrated systems, with two, the Comptroller and Development Offices, aboard the battleship, and one in retail operations for tickets and retail sales. All ticket office sales, gift shop and gallery sales, and other financial records are entered into an electronic financial database. PastPerfect software is used to track and maintain record of collections holdings.

All electronic records are backed up with paper copies. The commission rarely scans records at this time.

## Records Appraisal

The following is a discussion of the two major categories of records created and/or maintained by the USS Alabama Battleship Commission: Temporary Records and Permanent Records.

**I. Temporary Records.** Temporary records should be held for what is considered to be their active life and disposed of once all fiscal, legal and administrative requirements have been met. Some of the temporary records created by the USS Alabama Battleship Commission are discussed below:

- **Recordings of Meetings.** The commission is obligated under the Code of Alabama 1975 § 41-9-342 to hold an annual commission meeting at the site of the Battleship Memorial Park. Activities of the annual meeting may include a report by the commission's executive director, review of acquisitions, budget, and ongoing projects. This series consists of recordings taken at these meetings or other commission meetings and are to be retained until the official Meeting Minutes are adopted and signed.
- **Financial Loan Files.** Under the Code of Alabama 1975, the USS Alabama Battleship Commission is authorized to "borrow money from private sources, the state emergency fund or such other sources as may be acceptable to the commission under such terms and conditions as may be provided by law" (Code of Alabama of 1975 § 41-9-354). Financial Loan Files may include information associated with bank loans, repayment, and records of loan fund expenditures. Financial Loan Files of loans under \$100,000 are considered temporary and may be disposed of 5 years after the loan is closed. *(Note: Loans borrowed by the commission for sums over \$100,000 are considered permanent due to their reference and historical value.)*

- **Requisitioning and Purchasing.** The USS Alabama Battleship Commission creates several financial and human resources documents that are necessary and useful for only one five-year audit cycle. Several financial records relating to the requisitioning and purchasing of supplies and equipment, receipting and invoicing for goods, and authorizing payment for products; original entry or routine accounting transactions such as journals, registers, and ledgers; and records of funds deposited in agency banks, including bank statements, deposit slips, and cancelled checks; as well as human resources records documenting payroll, employee hours worked, leave earned, and leave taken have been appraised as “retain until the completion of the audit.”
- **Insurance Policies/Reports.** The Commission maintains insurance policies through the Alabama Department of Risk Management (ADRM) providing coverage for property, National Flood Insurance policies, automobile and other property/artifact coverage for agency vehicles, artifacts, collections, and liability. These policies are appraised as retain ten years after coverage ends or policy expires.
- **Security Logs/Incident Reports.** The Commission monitors the security and access of the park using security cameras and visitor logs. All records associated with the security of the park, including any incident reports are considered a temporary record. These should be retained for five years or until any associated incident litigation has been concluded.

**II. Permanent Records.** The Government Services Division recommends the following records as permanent.

### **Promulgating Rules and Regulations**

- **Meeting Agendas, Minutes, Packets, and all Correspondence relating to Appointments of members to the USS Alabama Battleship Commission.** The commission meets at least once per year to discuss matters relating to the operation and activities of the commission. This series constitutes the core documentation of the activities of the commission’s members and its Executive Committee. **(Bibliographic Title: Meeting Agendas, Minutes, Packets, and Correspondence relating to the Appointments of Members)**

### **Constructing and Managing USS Alabama Battleship Memorial Park**

- **Park Building Plans and Specifications.** The commission is charged with the responsibility of establishing, building, operating, and maintaining the state memorial park to honor veterans from Alabama. This series includes building plans and specification drawings related to projects in support of this mandate. **(Bibliographic Title: Park Building Plans and Specifications)**
- **Museum Archives and Exhibit Catalog and Files.** Under the Code of Alabama 1975 § 41-9-347, the commission is mandated to build a collection of artifacts relating to the services of Alabamians in the armed forces. Collection artifacts include aircraft, tanks,

cannons and artillery, and other military vehicles from the pre-WWII, WWII, Korean War, Vietnam War, and Cold War Eras. The park holds four pre-WWII- and WWII-era aircraft; three Korean War-era aircraft; seven Vietnam War-era aircraft; and eleven Cold War-era aircraft. They also feature a Patton Tank, Armored Personnel Carrier, and an Amphibious Tractor. The files serve as control files and may contain information about acquisitions, transportation, berthing, and renovations to be made to the USS Alabama and other military artifacts collected and displayed under this commission.

**(Bibliographic Title: Museum Archives and Exhibit Catalog and Files)**

- **Artifact Loan Files.** Records under this series contain items that have been loaned to the USS Alabama Battleship Memorial Park for display but have not been given as gifts or donations. These files can include information about items loaned from private collections, other institutions, the U.S. Navy, and the U.S. Air Force. These records are held and accounted for by the curatorial department and are to be retained permanently as an ongoing record of the collections, exhibits, and artifacts featured at the park.

**(Bibliographic Title: Artifact Loan Files)**

## **Educating and Promoting**

- **Informational and Promotional Publications, and Press Releases.** The commission educates children and visitors about the USS Alabama and other military artifacts through promotional material, tours, school visits, and events. Records reflecting these activities include, informational and promotional publications and press releases. **(Bibliographic Title: Informational and Promotional Publications, and Press Releases)**

## **Administering Internal Operations**

- **Website and Social Media.** The commission has a website at [www.ussalabama.com](http://www.ussalabama.com). Information on the website includes information on the commission's history, list of commissioners, artifact information, events, and information for school field trips and visitors. The commission also maintains a Facebook page. **(Bibliographic Title: Website and Social Media)**
- **Commission Appointment Letters.** Per the Code of Alabama 1975 § 41-9-340, the Governor appoints all members of the commission. This records series contains all official commission appointment letters written by the Governor to newly appointed members. **(Bibliographic Title: Commission Appointment Letters)**
- **Financial Loan Files.** Under the Code of Alabama 1975, the USS Alabama Battleship Commission is authorized to "borrow money from private sources, the state emergency fund or such other sources as may be acceptable to the commission under such terms and conditions as may be provided by law" (Code of Alabama of 1975 § 41-9-354). Financial Loan Files may include information associated with bank loans, repayment, and records of loan fund expenditures. The Commission has determined that loans borrowed for sums over \$100,000 are considered permanent due to their reference and historical value. Note:



Financial Loan files for loans issued to the commission for sums under \$100,000 are considered temporary records. **(Bibliographic Title: Loan Files)**

- **Inventory Lists.** The commission conducts an annual inventory of their collection holdings. Informal inventories are conducted twice yearly, and an official inventory and property audit is completed at the end of each fiscal year. According to the Code of Alabama 1975 § 36-16-8, agencies should retain a copy of inventories in their agency files. This series contains all documents related to the inventory. **(Bibliographic Title: Managing Properties, Facilities, and Resources)**

## **Permanent Records List**

### **USS Alabama Battleship Commission**

#### **Promulgating Rules and Regulations**

1. Meeting Agendas, Minutes, Packets, and all Correspondence relating to Appointments of members to the USS Alabama Battleship Commission

#### **Construction and Managing USS Alabama Battleship Memorial Park**

1. Park Building Plans and Specifications
2. Museum Archives and Exhibit Catalog and Files
3. Artifact Loan Files

#### **Educating and Promoting**

1. Informational and Promotional Publications, and Press Releases

#### **Administering Internal Operations**

1. Website and Social Media
2. Commission Appointment Letters
3. Financial Loan Files
4. Inventory Lists\*

\*indicates records that ADAH anticipates will remain in the care and custody of the creating agency.

ADAH staff members are available to work with agency staff in determining the best location and storage conditions for the long-term care and maintenance of permanent records.

# **USS Alabama Battleship Commission Records Disposition Authority**

This Records Disposition Authority (RDA) is issued by the State Records Commission under the authority granted by the Code of Alabama 1975 § 41-13-5 and § 41-13-20 through 21. It was compiled by the Government Services Division, Alabama Department of Archives and History (ADAH), which serves as the commission's staff, in cooperation with representatives of the USS Alabama Battleship Commission. This RDA lists records created and maintained by the USS Alabama Battleship Commission doing business as the USS Alabama Battleship Memorial Park in Mobile, Alabama, in carrying out its mandated functions and activities. It establishes retention periods and disposition instructions for those records and provides the legal authority for the USS Alabama Battleship Commission to implement records destruction.

Alabama law requires public officials to create and maintain records that document the business of their offices. These records must be protected from "mutilation, loss, or destruction," so that they may be transferred to an official's successor in office and made available to members of the public. Records must also be kept in accordance with auditing standards approved by the Examiners of Public Accounts (Code of Alabama 1975 § 36-12-2, § 36-12-4, and § 41-5-23). For assistance in implementing this RDA, or for advice on records disposition or other records management concerns, contact the ADAH Government Services Division at (334) 242-4452.

## **Explanation of Records Requirements**

- This RDA supersedes any previous records disposition schedules governing the retention of the USS Alabama Battleship Commission's records. Copies of any superseded schedules are no longer valid and should be destroyed.
- The RDA establishes retention and disposition instructions for records, regardless of the medium on which those records may be kept. Electronic mail, for example, is a communications tool that may records permanent or temporary information. As for records in any other format, the retention periods for email records are governed by the requirements of the subfunctions to which the records belong.
- Some temporary records listed under the Administering Internal Operations subfunctions of this RDA might represent duplicate copies of records listed for long-term or permanent retention in the RDAs of other agencies.
- Certain records and records-related materials need not be retained as records under the disposition requirements in this RDA. Such materials include: (1) duplicate record copies that do not require official action, so long as the creating office maintains the original record for the period required; (2) catalogs, trade journals, and other publications received that require no action and do not document government activities; (3) stocks of blank stationery, blank forms, or other surplus materials that are not subject to audit and have become obsolete; (4) transitory records, which are temporary records created for short-term, internal purposes that may include, but are not limited to: telephone call-back

messages; drafts of ordinary documents not needed for their evidential value; copies of material sent for information purposes but not needed by the receiving office for future business; and internal communications about social activities; and (5) honorary materials, plaques, awards, presentations, certificates, and gifts received or maintained by the agency staff.. They may be disposed of without documentation of destruction.

## **Records Disposition Requirements**

This section of the RDA is arranged by subfunctions of the USS Alabama Battleship Commission and lists the groups of records created and/or maintained by the agency as a result of activities and transactions performed in carrying out these subfunctions. The agency may submit requests to revise specific records disposition requirements to the State Records Commission for consideration at its regularly scheduled meetings.

*\* denotes agency vital records, defined as records required to carry on its essential operations, to protect its legal and financial interests, and to assist in its recovery during a period of emergency or natural disaster.*

### **Promulgating Rules and Regulations**

#### **MEETING AGENDAS AND MINUTES OF THE USS ALABAMA BATTLESHIP COMMISSION\***

Disposition: PERMANENT RECORD.

#### **Recordings of Meetings**

Disposition: Temporary Record. Retain until the official minutes are adopted and signed.

### **Constructing and Managing USS Alabama Battleship Memorial Park**

#### **PARK BUILDING PLANS AND SPECIFICATIONS\***

Disposition: PERMANENT RECORD.

#### **MUSEUM ARCHIVES AND EXHIBIT CATALOG AND FILES\***

Disposition: PERMANENT RECORD.

#### **ARTIFACT LOAN FILES\***

Disposition: PERMANENT RECORD.

#### **Museum Visitor Tour & Attendance Records**

Disposition: Temporary Record. Retain 3 years after end of the fiscal year in which the records were created or until State Audit has been performed, whichever is longer.

#### **Museum Gift Shop Operational Records (inventories, purchases, sales, deposits, and disbursements).**

Disposition: Temporary Record. Retain 3 years after end of the fiscal year in which the records were created or until State Audit has been performed, whichever is longer.

## **Educating and Promoting**

### **INFORMATIONAL AND PROMOTIONAL PUBLICATIONS**

Disposition: PERMANENT RECORD.

### **PRESS RELEASES**

Disposition: PERMANENT RECORD.

## **Administering Internal Operations: Commission Member Information**

### **CORRESPONDENCE RELATING TO APPOINTMENTS TO THE COMMISSION\***

Disposition: PERMANENT RECORD.

### **Recordings of Meetings**

Disposition: Temporary Record. Retain until the official Minutes are adopted and signed.

## **Administering Internal Operations: Managing the Agency**

### **COMMISSION APPOINTMENT LETTERS**

Disposition: PERMANENT RECORD.

### **WEBSITE AND SOCIAL MEDIA SITE(S)**

Disposition: PERMANENT RECORD.

*(ADAH staff captures and preserves the agency's website and other social media sites via a service offered by the Internet Archive [Archive It]. Check with ADAH website at [www.archive-it.org/organizations/62](http://www.archive-it.org/organizations/62) to ensure your agency website and social media site(s) are captured and preserved. If your agency's website and social media site(s) are not captured by the service, please contact the Government Services Division at 334-242-4452 to get them included.)*

### **Routine Correspondence/Memoranda**

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

### **Telephone Messages**

Disposition: Temporary Record. Retain for useful life.

### **Appointment Calendars**

Disposition: Temporary Record. Retain for 1 year.

### **Administrative Reference Files (includes notes, if any taken, for any informal meetings)**

Disposition: Temporary Record. Retain for useful life.

### **Mailing Lists**

Disposition: Temporary Record. Retain for useful life.

**Records documenting the implementation of the agency's approved RDA (copies of transmittal forms to the Archives and the State Records Center, evidence of obsolete records destroyed, and annual reports to the State Records Commission)**

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

#### **Copies of RDA**

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the RDA is superseded.

#### **Computer systems documentation (hardware/software manuals and diskettes, warranties)**

Disposition: Temporary Record. Retain documentation of former system 3 years after the end of the fiscal year in which the former hardware and software no longer exists anywhere in the agency and all permanent records have been migrated to a new system.

### **Administering Internal Operations: Managing Finances**

#### **FINANCIAL LOAN FILES (for loans containing sums over \$100,000)**

Disposition: PERMANENT RECORD.

#### **Financial Loan Files (For loans containing sums under \$100,000)**

Disposition: Temporary Record. Retain 5 years after the closure of the loan.

#### **Records documenting the preparation of a budget package and reporting of the status of funds, requesting amendments of allotments, and reporting program performance**

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

#### **Records documenting the requisitioning and purchasing of supplies and equipment, receipting and invoicing for goods, and authorizing payment for products\***

Disposition: Temporary Record. Retain until completion of audit.

#### **Records of original entry or routine accounting transactions such as journals, registers, and ledgers; and records of funds deposited in agency banks, including bank statements, deposit slips, and cancelled checks\***

Disposition: Temporary Record. Retain until completion of audit.

#### **Contractual records established for the purpose of service or personal property\***

Disposition: Temporary Record. Retain 6 years after expiration of the contract.

#### **Agency Audit Reports**

Disposition: Temporary Record. Retain 6 years after end of the fiscal year in which the records were created.

**Records documenting the bid process, including requests for proposals and unsuccessful responses**

- a. Original bid records maintained in the purchasing office of the agency for contracts over \$15,000  
Disposition: Temporary Record. Retain 7 years after the end of the fiscal year in which the bids were opened.
- b. Duplicate copies of bid (where originals are maintained by the Finance Department – Division of Purchasing)  
Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the bids were opened.

**Audit Reports**

Disposition: Temporary Record. Retain 6 years after the end of the fiscal year in which the records were created.

**Administering Internal Operations: Managing Human Resources**

**Records documenting payroll (e.g. pre-payroll reports, payroll check registers)\***

Disposition: Temporary Record. Retain until completion of audit.

**Records documenting payroll deduction authorizations\***

Disposition: Temporary Record. Retain 6 years after separation of employee from the agency.

**Records documenting payroll deductions for tax purposes\***

Disposition: Temporary Record. Retain 3 years after separation of employee from the agency.

**Records documenting employee hours worked, leave earned, and leave taken\***

Disposition: Temporary Record. Retain until completion of audit.

**Records of employee final status\***

Disposition: Temporary Record. Retain 6 years after separation of employee from the agency.

**Records documenting an employee's work history - generally maintained as a case file\***

Disposition: Temporary Record. Retain 6 years after separation of employee from the agency.

**Equal Employment Opportunity Complaint Files\***

Disposition: Temporary Record. Retain 6 years after separation of employee from the agency.

**Administering Internal Operations: Managing Properties, Facilities, and Resources**

**INVENTORY LISTS**

Disposition: PERMANENT RECORD. Retain in office (Code of Alabama 1975 § 36-16-8[1]).

**Letters of Transmittal**

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

**Agency copies of Transfer of State Property Forms (SD-1)**

Disposition: Temporary Record. Retain 3 years after the fiscal year the record was created.

**Property Inventory Affidavits (Cards and/or Computer Files)**

Disposition: Retain 3 years after the end of the fiscal year in which the records were created.

**Receipts for Responsibility for Property**

Disposition: Temporary Record. Retain until return of property to Property Manager.

**Real Property Leasing/Rental Records**

Disposition: Temporary Record. Retain 6 years after the termination of lease or rental agreement.

**Insurance Policies**

Disposition: Temporary Record. Retain 10 years after termination of policy or membership.

**Security Logs/Incident Reports**

Disposition: Temporary Records. Retain 5 years or until any litigation is concluded.



# **Requirements and Recommendations for Implementing the Records Disposition Authority (RDA)**

## **Requirements**

Under the Code of Alabama 1975 § 41-13-21, “no state officer or agency shall cause any state record to be destroyed or otherwise disposed of without first obtaining approval of the State Records Commission.” This Records Disposition Authority constitutes authorization by the State Records Commission for the disposition of the records of the USS Alabama Battleship Commission (hereafter referred to as the agency) as stipulated in this document.

One condition of this authorization is that the agency submit an annual Records Disposition Authority (RDA) Implementation Report of agency records management activities, including documentation of records destruction, to the State Records Commission in April of each year.

## **Recommendations**

In addition, the agency should make every effort to establish and maintain a quality record-keeping program through the following activities:

- The agency should designate a records liaison, who is responsible for: ensuring the development of quality record keeping systems that meet the business and legal needs of the agency, coordinating the transfer and destruction of records, ensuring that permanent records held on alternate storage media (such as microforms and digital imaging systems) are maintained in compliance with national and state standards, and ensuring the regular implementation of the agency’s approved RDA.
- Permanent records in the agency’s custody should be maintained under proper intellectual control and in an environment that will ensure their physical order and preservation.
- Destruction of temporary records, as authorized in this RDA, should occur agency-wide on a regular basis - for example, after the successful completion of an audit or at the end of a fiscal year. Despite the RDA’s provisions, no record should be destroyed that is necessary to comply with requirements of the state Sunset Act, audit requirements, or any legal notice or subpoena.
- The agency should maintain full documentation of any computerized record-keeping system it employs. It should develop procedures for: (1) backing up all permanent records held in electronic format; (2) storing a back-up copy off-site; and (3) migrating all permanent records when the system is upgraded or replaced. If an agency chooses to maintain permanent records solely in electronic format, it is committed to funding any system upgrades and migration strategies necessary to ensure the records’ permanent preservation and accessibility.

- The staff of the State Records Commission or the Examiners of Public Accounts may examine the condition of the permanent records maintained in the custody of the agency and inspect records destruction documentation. Government Records Division archivists are available to instruct the agency staff in RDA implementation and otherwise assist the agency in implementing its records management program.

The State Records Commission adopted this Records Disposition Authority on April 23, 2014.

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Steve Murray, Chairman  
State Records Commission

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Date

Receipt acknowledged:

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William N. Tunnell, Jr., Executive Director  
USS Alabama Battleship Commission

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Date